

Africa Region Mission Environmental Officers Environmental Procedures Training Workshop Participants' Sourcebook

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ENCAP

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Acknowledgments

Much of the presentation materials in this book are adapted from those developed for the Africa Regional Course in Environmental Assessment and Environmentally Sound Design for Small-Scale Activities. The Africa course has been delivered some 25 times since its creation in the mid-90s, training USAID staff in Partners in the principles of environmentally sound design and USAID environmental procedures. Primary funding for materials development has come from AFR/SD and REDSO/ESA via the Africa Bureau's

Environmental Capacity-Building Initiative (ENCAP). Details of this course and additional resource materials are available at www.encapafrika.org.

Module 1.

Discussion Topics:

- Welcome
- Participant Introductions
- Review of Training Workshop Objectives & Agenda
- Facilitator and Participant Expectations
- Venue/Facilities/Logistics Information

Contents:

- Objectives
- Agenda
- Venue/Facilities/Logistics Information
- List of participants
- List of current MEO-REO e-list
- KEY USAID CONTACTS in Sub-Saharan Africa: Environment, Natural Resources Management, Agricultural, Private Sector and Food for Peace Officers

MEO Training Course Objectives

The purpose of the course is to advance the capacity of Mission staff to:

1) **Design and implement environmentally-sound activities.** The workshop helps MEOs and Mission staff develop deeper understanding and awareness of how environmentally sound design affects the sustainability of development policies, programs, projects and activities, and thus the importance of environmental assessment, monitoring and evaluation.

2) **Assess reasonably foreseeable environmental impacts and mitigate and monitor to minimize adverse impacts.** The course serves to re-familiarize MEOs and Mission staff with the basic principles and practice of environmental assessment, and provides them with practical insights into the application of simple assessment tools and approaches.

4) **Review how USAID procedures are to be applied** in the context of evolving local policies and needs, using local expertise where possible to do so, and thereby avoid unnecessary delays in activity approval and implementation.

The course will address the following key areas of responsibility for both MEOs, and Mission staff including SO Teams, Program Officers, CTOs and others:

- 22 CFR Part 216
- PL 480 Title II activities under Reg. 216
- FAA 117, 118 and 119
- ADS 201, 204, 211
- ISPs/CSPs, Environmental Threats & Opportunities Assessment (ETOAs) vs. Strategic Environmental Planning
- Host Country Policy, Legislation and Procedures

5) Address the question: ***How can environmentally sound design processes be strengthened within our Missions and the Agency?***

6) **Provide an opportunity to discuss capacity building approaches**, including the Bureau for Africa's Environmental Capacity Building Program (ENCAP) www.encapafrika.org and the BEO Action Tracker

7) **Review new approaches to knowledge management** and their potential application to Agency and Mission responsibilities to promote environmentally sound design. As a group, address the question , ***“How Do We Develop a Greater Community of Practice?”*** including the potential application of *Simplify*.

Module 2.

Motivating EIA and Environmentally Sound Design

Discussion Topics:

- Why Assess?
- Origins of NEPA, EO 12114, and Reg. 216
- Principles of Environmentally Sound Design
- Role of local communities
- Gender issues

Contents:

- Overhead note pages: “Why Assess Environmental Impacts?”
- Overhead note pages: “Environmentally Sound Design and Management”

Module 3.

Key Concepts for Environmental Impact Assessment

Discussion Topics:

- EIA overview
- Information Requirements and Tools
- Mitigation and Monitoring

Contents:

- Overhead note pages: “Basic Concepts for Assessing Environmental Impacts”
- Overhead note pages: “Information Requirements and Tools for Screening and Preliminary Assessment”
- Overhead note pages “Environmental Mitigation and Monitoring”
- Indicative list of environmental factors to be monitored (from World Bank Assessment Sourcebook)

Core References:

- *Topic briefing: An Introduction to Environmental Impact Assessment* (M. Stoughton, ed.). In: *Environmental Guidelines for Small-scale Activities in Africa*.
- USAID, Office of Sustainable Development and Regional Economic and Development Support Office for East and Southern Africa, (1996), *Environmental Guidelines for Small-Scale Activities in Africa, Environmentally Sound Design for Planning and Implementing Humanitarian and Development Activities*.
- USAID, Office of Sustainable Development and Regional Economic and Development Support Office for East and Southern Africa, (2003), *Environmental Guidelines for Small-Scale Activities in Africa, Environmentally Sound Design for Planning and Implementing Humanitarian and Development Activities: 2nd Edition (draft)*.

Module 4.

Basic USAID Procedures

Discussion Topics:

- Screening/Categorization
- When is a Road not a Road?

Contents:

- Overhead note pages “USAID Environmental Procedures”
- Overhead note pages “Getting Started with the Environmental Procedures Training Manual”
- Screening exercises and questions, break-out groups
- Screening scenarios: review table

Key references:

- EPTM, Chapter 2
- EPTM, Annex A & B

Module 5.

Required Documentation: Determination and Overview

Discussion Topics:

USAID Documentation:

- Matching categorization outcomes to documents
- Exemptions
- Categorical Exclusions
 - Some Tricky Categorical Exclusions:
 - controlled experimentation or research (incl. pesticides, GMOs)
 - health activities
 - intermediate credit, micro enterprise and micro finance
 - development planning assistance
 - Title II
 - Local governance initiatives
- IEE basic
- IEE variant formats
- Umbrella IEEs and the Environmental Review Form
- Multiple Activity DAP IEEs

IEEs and the Threshold Decision:

- Concept of "Significance" (Reg 216 and prescriptions of FAA 117, 118 and 119)
- Positive and Negative Determinations
- Deferrals
- What Might Need a Formal Environmental Assessment?

Format and Structure of IEEs:

- SO-level, activity, RP or grant-level review

*Brief Introduction to Environmental Assessments: (**Discussed further in Module 8**)*

- Scoping Statements
- Environmental Assessments
- Programmatic Environmental Assessments

- Regional Environmental Assessments
- Strategic Environmental Assessments

- Using EIA Strategically in the Development Planning Process & Cycle
- SEAM

Contents:

- Overhead note pages “Required Documentation: Determination and Overview” (EPTM Ch. 3)
- Overhead note pages “The Environmental Status Report for Title II Activities”

Key references:

- EPTM, Chapter 3
- EPTM, Annexes C–G

Module 6.

Developing a Strong Community of Practice for USAID Environmental Compliance Practitioners.

This biennial workshop is one of the few opportunities for the USAID environmental compliance practitioners in Africa to spend quality time sharing knowledge and hashing out issues they face in the implementation of the Agency's environmental procedures. The other occasions for the BEO, REO, REA and MEO to discuss environmental compliance issues include the occasional TDY from the regional officers to individual missions, and email exchanges, typically between an individual MEO and the REO or BEO. Given that the "community of practice" (CoP) constituted by USAID environmental compliance practitioners in Africa meet many of the same issues on a regular basis, this community could profit from:

- more frequent opportunities for discussion of environmental compliance issues;
- a "multilateral" communication forum that allow MEOs to exchange experience with their fellow MEOs;
- a means to capture knowledge generated by everyday exchanges and troubleshooting, such as when IEEs are prepared.

The Africa Bureau proposes to develop tools and procedures whereby to strengthen the region's environmental compliance community of practice. These tools and procedures should be simple and be developed in consultation with the community members. This module will offer the opportunity for discussion about how this CoP should best be strengthened; what tools and procedures would be the most useful, and what are appropriate goals to shoot for. We want to establish a plan for strengthening the environmental compliance community, including next steps and a timeframe.

Contents:

- Excerpts from USAID's community of practice website (<http://knowledge.usaid.gov/communityhome.html>).

Module 7.

Review of Basic Concepts and Regulation 216

Contents:

- Review Questions: EIA Concepts
- Review Questions: Mitigation and Monitoring
- Review Questions: Regulation 216

Module 8.

Writing the IEE

Discussion Topics:

Writing the IEE:

- Tools
 - The ENCAP website materials www.encapafrika.org
 - Environmental Procedures Training Manual
 - 2nd Edition *Environmental Guidelines for Small Scale Activities in Africa*
 - Sample/Example IEEs
- BEO Tracker webpage work station, CD
- Topical Information Sources

Contents

- Overhead note pages “Writing the IEE”
- Overhead note pages “What if I have to go beyond and IEE?” —”The EA/PEA”
- Style Tips for IEE Writers, with Templates

Key references:

- EPTM, Chapter 4
- EPTM, Annex D (Sample documentation)

Module 9.

Project Cycle Integration: Roles and Responsibilities

Discussion Topics:

ADS in detail re: (201) Planning, (204) SO Teams:

- Prep/submission cycles & responsibilities
- Sign-off responsibility & authority
- Mitigation and monitoring follow-up
- Keeping environmental documentation current
- SO Annual Review Process
- Use of Mission Orders or similar tools
- GC, RLA, RCO, Country and Assistance Checklists: Triggers to Ensure Reg 216 is addressed
- Interagency transfer of funds, provided to other Federal agencies [FAA 632(a) and (b)], Ambassador's Self Help Fund; Dept. of Interior, Commerce, etc.
- Role of the Host Country

Use of the EA, Programmatic Environmental Assessment (PEA), Strategic Environmental Assessment (SEA), etc.

The ISP and CSP and Environmental Analysis and Planning:

- Encouraging environmentally sound activities
- Mainstreaming Environmental Review
- Forging an Environmental SO

Timing of Environmental Review in the Planning and Design Cycle (How not to overload the BEO in last month of FY!)

Annual Report and Environmental Planning and Management: Annual and on-going Portfolio Review

Contents:

- Overhead note pages “ADS 201” & Overhead note pages “ADS 204”
- ADS 202.3.4.5 Maintaining Official SO Team Files (excerpt)
- MEO Scope of Work Elements
- SEAM materials?
- Statutory Checklist

- Review Questions: ADS and project cycle integration

Module 10.

Special Topics

Training, Capacity Building and Analysis:

Environmental Management Capacity Building Program (ENCAP)

- Local capacity building and Training of Trainers in support of Mission implementing partners' ESD, best management practices, and compliance with USAID Environmental Procedures

Special Issues:

- Pesticides, Integrated Pest Management; Integrated Vector Management
 - The Pesticide Evaluation and Safe Use Action Plan (PERSUAP)
 - Insecticide-Treated Mosquito Nets/Materials (ITN, ITM)
- Biosafety/biotechnology
 - Agency Biosafety Officer, Josette Lewis, EGAT/AFS/AEMD
 - RRB 2.11-052 Washington, D.C. 20523- 2110
 - Phone: 202-712-5592, e-mail: jlewis@usaid.gov
- HIV/AIDS & Programming in E/NRM
- Medical and Hazardous Waste
- Global Development Alliance
- Micro and Small Enterprises and the Environment - Cleaner Production
- Credit and Micro-enterprise Finance or TA
- Quality Environmental Management Standards
- Integrated water resources and sanitation (Arsenic, coliform bacteria and nitrates)

Various Initiatives, Trends & Their Relevance to Environmental Review:

- Initiative to Cut Hunger in Africa
- WSSD Signature Agreements & Presidential Initiatives

Other special topics:

- Policy reform, Sectoral Assistance
- Environmental Justice and Advocacy
- Democracy and Governance through Environmental Procedures
- Global Climate Change Directive
- Human Subjects Protocol
- CITES
- Transboundary Resource Management and EIA

- Rapid EA in Emergencies
- SPHERE Minimum Standards for Humanitarian Assistance

Resources:

- Overhead note pages “Pesticides/IPM”
- ENCAP 2 page description
- *Environmental Guidelines for Small-Scale Activities in Africa*^{3/4} “Water and Sanitation” module
- Biosafety directive and draft ADS 211
- Global Climate Change Directive
- Human Subjects Protocol
- *Trade & Environment: Critical Concepts and Considerations for Project Design*: Summary, June 2000 (EPIQ/Tellus Institute)
- Global Development Alliance Webpage description
- Humanitarian Assistance
 - *Environmental Guidelines for Small-Scale Activities in Africa*^{3/4} “Humanitarian Assistance” Module
 - Rapid EA Description
 - SPHERE Webpage Description
- *Environmental Guidelines for Small-Scale Activities in Africa*^{3/4} “Medical and Hazardous Waste” Module
- Description of ENCAP Cleaner Production for MSE’s Initiative

Module 11.

Strengthening Environmentally Sound Design Processes within Missions

Discussion Topics:

- Are ADS 204 and 201 sufficient?
- How can Missions further strengthen environmentally sound and sustainable design processes in design of activities, projects, programs, ISP's or CSP's?
- What type of capacity building is needed? Technical assistance support? Local consultant support? EGAT/Human Resources support?
- Capacity Building for USAID Implementing Partners and Training of Trainers
- Are staff roles properly reflected in job descriptions and evaluations?
- The Way Forward : Next Steps

Contents:

- “Using USAID Environmental Procedures Strategically” (Discussion text, Bingham (REDSO/ESA) & Knausenberger (AFR/SD/ANRE), 1999)
- “Is Reg 216 Ripe for Revision?” (Discussion text, Bingham (REDSO/ESA) & Knausenberger (AFR/SD/ANRE), 1999)

Module 12.

Closing

Completion of Evaluation Form and Award of Certificates of Completion

Module 13.

Advanced Topics in USAID Environmental Procedures

Categorical Exclusions and IEEs as Part of an Ongoing Process:

- Conditions and their Follow Up (conditions for construction, implementation, mitigation, monitoring and reporting and in some cases for subsidiary screening and environmental review)
- Modifying or Adding Activities to an SO, IR, or RP
- Amending Categorical Exclusions or IEEs
- ADS 204 and the Annual Report on Monitoring -- Tools to Use (including Actions Tracker and the Portfolio Review Tool)
- Better Follow-up to IEE Conditions, Deferrals
- Environmental Status Report (ESR) for Title II for Development Programs
- Activities that Slip through the Cracks

More on Environmental Assessments (EAs), Programmatic Environmental Assessments, Tropical Forestry EAs (TFEAs), Supplemental Environmental Assessments (SEAs) and Strategic or Regional Environmental Assessments (REAs or SEAs of a different sort):

- Types and Purposes
- Scoping and Scoping Documents
- TOR and Use of Consultants (use and abuse of consultants)

Appendix A:

Statute and guidance

Contents: (See

- ADS 201 excerpts (Planning)
- ADS 204 (Environmental Procedures)
- ADS 211 (DRAFT: Biosafety Procedures for Genetic Engineering Research)
- FAA Part 1 §117 (Environment and Natural Resources)
- FAA Part 1 §118 (Tropical Forests)
- FAA Part 1 §119 (Endangered Species)

Key References

- EPTM, Annex B (Reg 216 text and DAP Guidance)